

Application for Federal Assistance
GRANT WORK PLAN REQUIREMENTS & CHECKLIST
July 2007

The program/project work plan is the basis for making an award of assistance and is used by the EPA Project Officer to manage and evaluate performance under the agreement. Therefore, a strong well written work plan is an essential element in the application process in order for your proposal to be considered and approved for Federal funding. The work plan is also the portion of the legal agreement between you and the EPA regarding what activities/efforts the financial assistance is supporting.

Your Application for Federal Assistance will not be considered unless it contains an approvable work plan. All work plans submitted to the EPA must contain the following components:

☐ **1. Stated Objective/Link to the EPA Strategic Plan.** A description of the objective of the Program/Project and the link between the program/project and the EPA Strategic Plan. *All grant-funded activities are required to be linked to the strategic plan.* The Strategic Plan establishes goals, objectives, and sub objectives for accomplishing EPA's mission to protect human health and the environment. The five goals & their objectives are:

Goal 1: Clean Air and Global Climate Change

- Objective 1.1: Healthier Outdoor Air
 - Sub Objective 1.1.1: More people breathing cleaner air
 - Sub Objective 1.1.2: Reduced Risk from Toxic Air Pollutants
- Objective 1.2: Healthier Indoor Air
- Objective 1.3: Protect the Ozone Layer
- Objective 1.4: Radiation
 - Sub Objective 1.4.1: Enhance Radiation Protection
 - Sub Objective 1.4.2: Maintain Emergency Response Readiness
- Objective 1.5: Reduce Greenhouse Gas Intensity
- Objective 1.6: Enhance Science & Research
 - Sub Objective 1.6.1: Provide Science to Support Air Programs
 - Sub Objective 1.6.2: Conduct Air Pollution Research

Goal 2: Clean and Safe Water

- Objective 2.1: Protect Human Health
 - Sub Objective 2.1.1: Water Safe to Drink
 - Sub Objective 2.1.2: Fish & Shellfish Safe to Eat
 - Sub Objective 2.1.3: Water Safe for Swimming
- Objective 2.2: Protect Water Quality
 - Sub Objective 2.2.1: Improve Water Quality on a Watershed Basis
 - Sub Objective 2.2.2: Improve Coastal & Ocean Waters
- Objective 2.3: Enhance Science & Research
 - Sub Objective 2.3.1: Apply the Best Available Science
 - Sub Objective 2.3.2: Conduct Leading-Edge Research

Goal 3: Land Preservation and Restoration

- Objective 3.1: Preserve Land
 - Sub Objective 3.1.1: Reduce Waste Generation & Increase Recycling
 - Sub Objective 3.1.2: Manage Hazardous Wastes & Petroleum Products Properly

- Objective 3.2: Restore Land
 - Sub Objective 3.2.1: Prepare for & Respond to Accidental & Intentional Releases
 - Sub Objective 3.2.2: Clean Up & Reuse Contaminated Land
 - Sub Objective 3.2.3: Maximize Potentially Responsible Party Participation at Superfund Sites
- Objective 3.3: Enhance Science & Research
 - Sub Objective 3.3.1: Provide Science to Preserve & Remediate Land
 - Sub Objective 3.3.2: Conduct Research to Support Land Activities

Goal 4: Healthy Communities and Ecosystems

- Objective 4.1: Chemical, Organism, & Pesticide Risk
 - Sub Objective 4.1.1: Reduce Exposure to Toxic Pesticides
 - Sub Objective 4.1.2: License Pesticides Meeting Safety Standards
 - Sub Objective 4.1.3: Reduce Chemical & Biological Risks
 - Sub Objective 4.1.4: Reduce Risks at Facilities
- Objective 4.2: Communities
 - Sub Objective 4.2.1: Sustain Community Health
 - Sub Objective 4.2.2: Restore Community Health
 - Sub Objective 4.2.3: Assess & Cleanup Brownfields
 - Sub Objective 4.2.4: Sustain & Restore U.S.-Mexico Border Ecosystems
- Objective 4.3: Ecosystems
 - Sub Objective 4.3.1: Protect & Restore Ecosystems
 - Sub Objective 4.3.2: Increase Wetlands
 - Sub Objective 4.3.3: Improve the Health of Great Lakes Ecosystems
 - Sub Objective 4.3.4: Improve the Aquatic Health of the Chesapeake Bay
 - Sub Objective 4.3.5: Improve the Aquatic Health of the Gulf of Mexico
- Objective 4.4: Enhance Science & Research
 - Sub Objective 4.4.1: Apply the Best Available Science
 - Sub Objective 4.4.2: Conduct Relevant Research

Goal 5: Compliance and Environmental Stewardship

- Objective 5.1: Improve Compliance
 - Sub Objective 5.1.1: Compliance Assistance
 - Sub Objective 5.1.2: Compliance Incentives
 - Sub Objective 5.1.3: Monitoring & Enforcement
- Objective 5.2: Improve Environmental Performance through Pollution Prevention & Innovation
 - Sub Objective 5.2.1: Prevent Pollution & Promote Environmental Stewardship by Government & the Public.
 - Sub Objective 5.2.2: Prevent Pollution & Promote Environmental Stewardship by Business
 - Sub Objective 5.2.3: Business & Community Innovation
 - Sub Objective 5.2.4: Environmental Policy Innovation
- Objective 5.3: Build Tribal Capacity
- Objective 5.4: Enhance Science & Research
 - Sub Objective 5.4.1: Strengthening Science
 - Sub Objective 5.4.2: Conducting Research

The EPA Region 7 strategic plan and goal sub-objectives are located at:
<http://www.epa.gov/ocfo/regionplans/region7/2004strategicplanreg7.pdf>

☐ **2. Grant Funding** - A budget narrative must accompany the work plan and the Application for Federal Assistance, SF-424 A & B. This budget narrative must provide detailed information concerning the anticipated amount of funding requested (both Federal and non-federal match) and the associated costs needed to achieve the program/project objectives for this grant. This information must be in sufficient detail so

that the EPA may make a determination that the costs are eligible, allocable, reasonable, and allowable under the appropriate Cost Principles and statutory and regulatory authorities.

Be sure to include a discussion of:

- ☐ **Personnel** - List all participants in the program/project by position title. Include the percentage of budget period for which they will be fully employed of the program/project (e.g., half-time of half of the budget period equals 25 percent, full-time for half of the budget period equals 50 percent, etc.) Include the annual salary and the total costs over the budget period for all personnel listed.
 - ☐ **Fringe Benefits** - Social security, employee's life and health insurance plans, unemployment insurance coverage, workmen's compensation insurance, pension plans, severance pay, annual, sick, court and military leave. Identify percentage of cost, applied to Line A, Personnel.
 - ☐ **Travel** - If travel is budgeted, show general purpose of the travel as well as estimated costs per trip.
 - ☐ **Equipment** - Identify all equipment to be purchased, include estimated costs by item. Equipment is defined as tangible, non-expendable, personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more **per unit**. Property that does not fall into this category should be listed as **Supplies**.
 - ☐ **Supplies** - Identify the estimated costs for general materials and supplies (e.g., postage, printing, office supplies. etc.).
 - ☐ **Contractual** - Specify the nature and estimated cost of each proposed contract. EPA may require review of contracts prior to their execution to assure all costs are reasonable and necessary to the program/project.
 - ☐ **Construction** - If construction costs are anticipated, you must contact the EPA, Region VII Grants Administration office, telephone 913-551-7461, for additional instructions prior to completing your application.
 - ☐ **Other** - Estimate all other direct costs, which are not included in the above categories (i.e., telecommunication expense, postage, etc.). If you are applying for a training project, your itemization of "other" should include a breakdown of costs for trainee tuition and fees, book allowance, stipends and travel.
- 💡* **The total direct costs estimated for your program/project must agree with the amounts contained in the Application for Federal Assistance Budget Page. These amounts include both the Federal and Non-Federal contributions.**

☐ **Indirect Costs.** If you have an approved Negotiated Indirect Cost Rate Agreement or a Cost Allocation Plan prepared in accordance with the appropriate Cost Principles, you are eligible to charge indirect costs to the agreement as long as the rate is current and charged in accordance with the agreement. For additional information on indirect costs, please read the Indirect Cost portion contained in the Grant Application Assistance located at the EPA R7 website: http://www.epa.gov/region07/economics/pdf/supplemental_information_for_sf424.pdf.

☐ **3. Work Plan Activities and Time frame for Accomplishment (Commitments)** - The Work plan must list the activities necessary to accomplish the stated objectives in the work plan and a time frame for their accomplishment (milestone schedule). For example, if you are proposing to conduct sampling activities, when will the sampling be conducted and concluded?

☐ **4. Results of Activities (Outputs)** - Provide information regarding the anticipated products/results from the accomplishment of work plan activities.

☐ **5. Projected Environmental Improvement (Outcome)** - Provide a brief description regarding the environmental improvement that is anticipated at the completion of the program/project. Environmental improvements are changes or benefits to the environment that are a result from the accomplishment of work plan commitments and outputs. These may be:

- Short term - Changes in learning, knowledge, attitude, skills
- Intermediate - Changes in behavior, practice or decisions
- Long term - Changes in condition

☐ **6. Established Baseline for Measurement** - Provide a baseline for measuring the results of the program/project. Discuss how this baseline will be used to determine whether the program/project resulted in environmental improvement (i.e., current condition, new condition).

☐ **7. Quality Assurance** - All applicants, whose program/project involves environmentally related measurements or data generation, are required to develop and implement quality assurance practices. Federal funding for environmental measurements and data generation activities will not be an allowable cost under the Assistance Agreement until a Quality Assurance Project Plan has been developed and approved. The Quality Assurance Requirement Form contained in the Application for Federal Assistance (this form is also available from the EPA regional grants Website located at: <http://www.epa.gov/region07/economics/appforms.htm>

Quality assurance regulations are: State, Local or Indian Tribal governments, see regulation 40 CFR 31.45; other applicants, see 40 CFR 30.54. If you are unsure whether your program/project is subject to the Quality Assurance requirements, please contact the EPA, Region VII Quality Assurance Manager at (913) 551-7258.